ESRC Impact Acceleration Account (IAA)
Newcastle ESRC IAA Open Chair Call
Guidance Notes for Autumn 2017 Call
Weblink: http://www.ncl.ac.uk/hss/internal/impact/iaa/

A. Background
The ESRC has awarded Newcastle University funding through an Impact Acceleration Account (IAA) to fund knowledge exchange (KE) and impact activities to enable academics to maximise the impact from their social science research and contribute to economic and societal development in their region and beyond.

B. Aims of the ESRC IAA Open Chair Scheme
The aim of the ESRC IAA Open Chair scheme is to enable a consortium of academics, NGOs, community groups and other professionals to work together to undertake research on a theme determined by the entire consortium. This theme must address or reflect a pressing social need, and aim to deliver transformative action to address that need. Please note that no individual is appointed to fill the Open Chair; it remains ‘open’ and thus, the budget is largely for non-salary costs.

The approach to be taken will be of co-inquiry, and special emphasis will be placed upon the ‘non-academic’ knowledge, skills and experience from the ‘experts by experience’ members of the Consortium who will offer insights into the social need being addressed. The coordination of an Open Chair may be undertaken by a group of academics with relevant skills and interests, working alongside external individuals and organisations.

It is important that the findings of the ESRC IAA Open Chair are disseminated and jointly credited and given opportunity to flourish and have impact in the relevant fields.

C. Eligibility
Applications are invited from any researcher active in the social sciences (whether or not they are ESRC grant holders) who, at the point of application, hold a current contract of employment as an independent researcher (on a research or teaching and research contract and undertaking independent research, leading or acting as principal investigator or equivalent on a research grant or significant piece of research work) with Newcastle University. Applications are welcomed from staff across all three Faculties.

Awards will be made available to fund an Open Chair Consortium with proven members and commitment, to undertake twelve months of research activity, collaboration and dissemination, to address or reflect a pressing social need, in order to deliver transformative action on that social need.

Awards are not for the continuation of existing research. Applications should therefore focus on the co-production of developmental research and activities to generate impact towards a pressing social need.
D. Extent of the ESRC IAA Open Chair Scheme

1. We expect to fund one Open Chair consortium per annum, each Consortium being awarded up to £15,000 for the twelve months of activity. Awards are made up from contributions from the ESRC (providing 2/3 of award funding, up to £10,000) and from NISR (providing 1/3 of award funding, up to £5,000).

2. Applicants should consider co-funding (cash or in-kind) of applications where possible. This type of commitment not only increases the reach of the funding, but commits external partners to engage with the activities developed by researchers. Applicants are expected to demonstrate in their proposals that there is a genuine commitment from external partner members and organisations.

3. The following are excluded from this fund:
   - Basic research that does not include substantive user engagement
   - Academic staff salaries
   - Knowledge Transfer Partnerships

4. The fund will cover directly incurred costs only. All costs must be fully and clearly justified and may include the following:
   a) Meeting/workshop costs: To allow the Consortium to get together and communicate regularly e.g. refreshments, venue hire in community or other relevant setting. Note: we encourage the use of University and Partner meeting rooms, and University approved suppliers for venues where possible, to keep costs value for money.
   b) Salaries: For research fellows and research associates to support the Open Chair award; if such fellows or associates are supported by research grants from bodies outside the University, the terms and conditions of their award/appointment must not preclude their acceptance of additional research funding. If a named RA is an existing member of staff (already on payroll) being costed you must ensure salaries are costed at ‘actual’, not ‘banded’ rates by ensuring the ‘use Actual Salary’ option in MyPP is selected
   c) Printing/photocopying: This may be required to ensure effective dissemination during and at the end of the Consortium activity
   d) Expenses/reimbursement for volunteers: You may want to consider whether it is appropriate and/or necessary to reimburse members of the Consortium for travel to and from meetings, or subsistence costs for all day involvement etc
   e) Equipment: Consumables directly related to the project may be eligible for funding, but must be fully justified. Where items of equipment are requested at substantial cost and are to be retained within the School, the School would ordinarily be expected to contribute 50% of the cost of these items.
   f) Reasonable travel, accommodation and subsistence costs where necessary: In accordance with the University Expenses Manual at: [http://www.ncl.ac.uk/internal/finance/expenses/regulations/index.htm](http://www.ncl.ac.uk/internal/finance/expenses/regulations/index.htm)
   g) Other: The Panel will consider applications for costs such as registration costs at events, production of professional materials, etc.

NB Where networks are not yet in place, applications are encouraged to the Newcastle ESRC IAA Impact Accelerator Fund for funding to support the development of a consortium with the intention of working up a future application to the Open Chair Call (although a successful award from the Newcastle ESRC IAA Impact Accelerator Fund to develop a
proposal for the Open Chair Call does not automatically guarantee a successful application to the ESRC IAA Open Chair call).

E. Strategic Priorities

As part of the updated KPIs submitted to the ESRC in 2017 we outlined a number of strategic priorities for future projects funded through the IAA. If applicable, candidates are encouraged to include details in their application of how their work will address at least one (or more) of these priority areas:

Interdisciplinary collaboration: We encourage applicants to collaborate with other disciplines outside of social science especially in the Arts and Humanities or in the EPSRC research areas (noting that any IAA projects must be 50% social science).

Enhanced external partnerships: We would welcome proposals that involve new external partners to the University – especially in the VCSE sector or in partnership with industry.

Early Career Researchers—We welcome/encourage project proposals led by ECRs, where the team consists of an ECR and a more experienced academic member of staff, or other ways in which ECRs are included in project teams.

Legacy – Consideration should be given to how the proposed project will make a long-term, lasting impact after the IAA funding has completed, including building capacity for working towards impact within Schools or Institutes.

F. Assessment Criteria

Applications will be assessed against the following criteria:

1. Demonstrable evidence of a relationship with all of the external contacts in the Consortium
2. Evidence of commitment and appetite from all members of the Consortium in participating in the work proposed
3. Clear evidence of topic addressing or reflecting societal need
4. Clear evidence of potential to deliver transformative action on the social need identified.
5. Evidence that this relates to an existing research strength of Newcastle University, and explanation of to what extent this will be developing new research insights.
6. Clear demonstration of how the expectations of the Consortium will be managed
7. Demonstration of understanding of the principles and methods of co-inquiry
8. Demonstration of understanding of the principles and methods of co-produced research
9. Evidence of awareness of ethical considerations and how these will be addressed, in terms of topic area and in terms of working with members of the Consortium?
10. Quality of the proposal; is it academically rigorous in terms of its methodology, and how robust are the aims for the potential reach and significance of the work, and the impact that it will have?
11. Is there a clear activity plan with a sound approach to communications both within and beyond the Consortium?
12. Is there a defined timeframe, and are the project activities deliverable within the timespan defined?
13. Are the proposed societal and economic outcomes and outputs of the proposal realistic and appropriate?
14. Does the proposal represent Value-for-Money?
15. Will the proposal develop sustainable relationships with an external organisation(s) and/or community(s) and/or research-user(s) and/or practitioner(s)?
16. Will the proposal leverage additional resources (both financial and non-financial) from an external organisation(s) and/or community(s) and/or research-user(s) and/or practitioner(s)?
17. Does the proposal align and support the ESRC IAA key performance indicators?
18. Will the proposal enhance the University’s research culture and environment?

G. Process
1. There will be one call during each academic year for the Open Chair Scheme.
2. Applications must be made on the ESRC IAA Open Chair application form.
3. There is no limit to the number of applications from each School per call.
4. Applicants are required to discuss their project with the Faculty’s ESRC Impact Acceleration Account Officer, Dr Eve Forrest, and NISR Administrators, Jenny Hasenfuss or Alex Robson and your School Impact Champion before submission.
5. The normal process for costing external awards should be followed. Applicants should cost their proposals in MyProjects Proposals (please keep at P-stage only) in liaison with their School office. Please ensure Clare Graham & Jenny Hasenfuss are added as a project team member for support purposes. Please select the following proposal funding and pricing templates:
   - **Funder:** ESRC
   - **Pricing template:** 100% fEC excluding inflation (with Directly Allocated costs removed in final adjustment). Please contact hass.researchteam@ncl.ac.uk if you have any queries.
6. Applicants are required to discuss their project with their Research Director and Head of School in relation to strategy and staffing implications. Applications should have support from the School and must be ranked by the Director of School/Director of Research.
7. Standard conflict of interest considerations will apply. Where the Research Director is an applicant or a collaborator on the relevant project, he or she will not be involved in the process nor have access to the relevant School documentation, and the Head of School will submit the form in lieu of him or her. Where the Head of School is an applicant or a collaborator on the relevant project, he or she will not be involved in the process nor have access to the relevant School documentation, and the Research Director will submit her or his ranking without Head of School confirmation. Where both the Research Director and the Head of School are applicants or collaborators on the relevant projects, the School ranking will be made by the Deputy Head of School or, when one is not available (or he or she is also affected by conflict of interest), a suitable person (or persons) nominated by the Dean of Research and Innovation.
8. A signature of support for the project should be included from all stakeholder partner organisations. This can be in the form of an email attachment.
9. Completed forms should be submitted electronically to hass.researchteam@ncl.ac.uk by the deadline date on the application form.

10. Applications will be considered by the Newcastle ESRC IAA Fund Awards Panel meeting as stipulated on the application form. The panel comprises the IAA Director (Dean of Research and Innovation), three research users, two Newcastle Institute for Social Renewal impact champions, plus other members of the ESRC IAA Management Group. The Awards Panel will rank the applications and decide which single Open Chair consortium will be awarded for that year’s call.

11. Applicants will normally be informed of the results within two weeks of the awards panel meeting.

12. Successful applicants will be asked to use the impact section of MyProjects to record activity in relation to their award.

13. Successful applications will be asked to provide information about their project for publicity purposes within the Faculty and the Institute for Social Renewal and may be asked to participate in CPD events.

14. Funded project holders will be required to complete at least two reports:
   - At the end of the project award holders will be required to discuss their project face to face with ESRC IAA Impact Officer Dr Eve Forrest (eve.forrest@newcastle.ac.uk). This discussion will evaluate if the relevant milestones and KPIs for the project have been met to date. Based on this discussion a report will be produced by Dr Eve Forrest and then signed off by both parties subject to agreement. Should the project have received a significant extension of time, these discussions will take place one calendar year from the project start date, with an additional meeting once the project has completed. These reports will then be considered by the Newcastle ESRC IAA Steering Group and at Management Group Meetings.
   - 12 months after your project end date another discussion will take place to give an update on any additional outputs and impacts

12. Exceptionally, applications for “urgency funding” will be considered between calls where opportunities arise that require an immediate decision. Chair’s action will be taken in such instances after electronic consultation with panel members.

H. Terms and conditions of awards

1. Successful candidates are expected to start the impact outputs and activities as soon as possible and to complete them within 12 months of the official start date.

2. Successful candidates are required to consider any ethical issues relating to their application and comply with the University procedures for ethical review process.
   - For awards set up with a RES account, the preliminary ethics section on MyPP will need to be completed and if this indicates ethics are required, please complete the University Ethics Form.
   - For all projects set up with an OSR account please complete the University Ethics Form.

3. Successful candidates are required to contribute to the HaSS Research Impact Blog, writing one article, preferably in collaboration with any partners, about their project work. Your blog piece can be discussed with Dr Eve Forrest.

4. PI’s must acknowledging the ESRC IAA block funding in the following ways:
   - Publications and other forms of media communication, including media appearances, press releases and conferences, must acknowledge the support
received from the Research Council, quoting the grant reference number if appropriate.

- Any journal publications or reports should acknowledge the block funding using this format: “This work was supported by the Economic and Social Research Council, Impact Acceleration Account [Grant Ref: ES/M500513/1, Newcastle University].”

- Ensure the use of the ESRC logo on any printed materials/outputs. ESRC logos can be downloaded from: http://www.esrc.ac.uk/about-us/visual-identity-and-logos/

5. The award will be withdrawn if a successful candidate subsequently leaves the University.

6. The balance of an award outstanding at the end of 12 months will automatically revert to the Fund, unless prior warning and justification is given to the Dean of Research and Innovation.

7. Successful projects will be listed on the Faculty ESRC IAA website.

8. A RES/OSR account and impact project will be set up in MyProjects on award and funds transferred into this account, usually at the end of the project and on submission of your final report.

9. Project partner payments are allowed from the award to consortium partners. The details of the payments are not required to be in place, at the time of application, to allow the consortium flexibility in how these payments are allocated. Once arrangements are finalised for amounts being allocated to a partner, these payments must have a financial agreement in place, drawn up in conjunction with the Grants and Contracts team. The PI/School support are responsible for notifying Grants and Contracts and liaising over this set up.

   Contract Financial Management (CFM) will pay invoices relating to these payments due; funds to partners cannot be made without a signed agreement being in place. For project costing purposes, where RES accounts set up is required, the funds for any partner payments will sit in a separate WBS element, and not included in the School’s award allocation/costs. These funds are for external payments only (being a redistribution of research income), therefore, this part of the award cannot be vired to the School’s funding allocation.

10. Where there are cash contributions from external organisations, a collaboration agreement must be drawn up in conjunction with the Grants and Contracts/Enterprise team. School admin support are responsible for managing any cash contribution funding and liaising over collaboration agreements.

11. That Schools will administer the spend against the allocated funds and reports will be run by the Research and Impact Support Officer in the Faculty to monitor spend.

12. Spend of your allocated funding from the ESRC IAA award may vire between requested headings, for valid reasons, as long as the outputs are achieved. Any major amendments to your budget plan, where you would like to use your award to cover new/additional outputs should be pre-approved by the IAA Manager. On these occasions, please contact hass.researchteam@ncl.ac.uk with full details on the project budget amendment request.

13. Any equipment, materials or books purchased from the award shall remain the property of the University.

14. The Faculty and the Institute for Social Renewal reserves the right to review and to terminate an award at any time.
KPI’s for Newcastle ESRC Open Chair Call

ESRC have set a number of KPIs for the overall Impact Accelerator Account. Academic staff will be asked to report on Outputs, Outcomes and Impacts both during and at the end of their Open Chair award giving evidence in all categories.

**Outputs**

- Cash and In-kind contributions from non-academic partners *(amount from each partner, which partners?)*
- Joint publications with non-academic partners *(how many publications? where published?)*
- Number of collaborative projects/proposals following engagement through IAA funding
- Number of strategic events participated in (both ways)
- Any case studies developed
- Number of new partners participating in collaborative projects/proposals
- Number of events and attendance *(numbers of people participating in each event)*
- Number of people completing surveys/interviews
- Engagement with other institutions (with and without IAAs)

**Outcomes**

- Any increase in research investment and engagement with non-academic organisations *(what is this? with who?)*
- Increase in volume of collaborative activities and engagement activities *(what are these? With who?)*
- Increase in the number of projects that continue beyond initial engagement *(what is the nature of the continued engagement? With who?)*
- Increase in number of researchers participating in KE/Impact/commercialisation activity *(who? What?)*
- Increased income from impact activities
- Increased number of engagements
- Increase in resource requested from ESRC for Pathways to Impact

**Impacts**

- Increase in co-produced research
- Any increase in commercialisation and business and stakeholder engagement
- Cost savings in non-academic organisations
- Policy and/or practice change
## Appendix 2 RCUK IAA Reporting Matrix

<table>
<thead>
<tr>
<th>Activity (including)</th>
<th>Outputs (including)</th>
<th>Outcomes (including)</th>
<th>Impacts (including)</th>
</tr>
</thead>
</table>
| **Secondments, Placements, Visits**
  Reporting must include information on the sector of the non-academic partner (and the size of corporate partners)
| - Number of secondment projects (inward/outward)
- Cash and in-kind contributions from non-academic partners
- Joint publications with non-academic partners | - Number of partners who go on to pursue further collaborations with RO following secondment/ placement/ visit
- Investment in further engagement following secondment
- Future employment destination of secondee or others from the RO | - Jobs and/or increased turnover, profit and exports from/of new products and/or processes
- Policy and/or practice change
- Increased R&D expenditure of non-academic partner |
| **Early Stage Commercialisation**
  This can include social enterprise, joint ventures and spin outs
| - Number of patents filed and disclosures received
- Number and value of licensing agreements
- Number of Proof of Concept (PoC) projects
- Value of co-produced research
- Number of market assessments completed
- Number of prototypes/ tool kits/ test beds/ beta software produced
- Number of CPD Programmes developed | - Investment gained in activity
- Number of spin-outs/ social enterprise/ joint ventures established
- External investment in spin-outs/ social enterprise/ joint ventures
- Number of PoC projects funded by others
- Licenses completed
- Income generated (included through consultancy fully funded by non-academic organisation)
- Extent and reach of CPD Programmes | - Jobs and/or increased turnover, profit and exports from/of new products and/or processes
- New business models in non-academic organisations
- Cost savings in non-academic organisations
- Policy and/or practice change |
| **User Engagement**
  Reporting must include information on the sector of the non-academic partner (and the size of corporate partners)
| - Number of collaborative projects supported by IAA (and number not supported)
- Agility and rapidity of funding for time-bound activity
- Number of new partners participating in collaborative projects/ proposals
- Number of new collaborative projects/proposals following engagement through IAA funding
- Cash and in-kind contributions from partners
- Number of industry visits
- Number of strategic events participated in (both ways)
- Joint publications (academic and other) with non-academics | - Increase in range of research investors in the RO
- Increase in research investment and engagement with non-academic organisations
- Increase in the number of projects that continue beyond initial engagement
- Increase in volume and value of collaborative activities (e.g. Innovate UK, KTP etc) | - Jobs and/or increased turnover, profit and exports from/of new products and/or processes
- Increased R&D expenditure of non-academic partner
- New business models in non-academic organisations
- Cost savings in non-academic organisations
- Policy and/or practice change |
| **Driving Culture Change**
  Reporting must cover all research career stages and career types (including professional services) as well as all areas of knowledge exchange (from Public Engagement to engaging with the Private Sector).
| - Number of enquiries received from staff
- Value of joint investment in IAA activities from within the RO (financial and broader resources)
- Number of academics trained
- Number of staff engaging (success rates for opportunities)
- Case studies developed
- Number of events and attendance
- Number of people completing surveys/ interviews
- Engagement with other institutions (with and without IAAs)
- Complementarity between multiple IAAs and other funding, including between structures and processes | - Increase in number of researchers participating in KE/ Impact/ commercialisation activity
- Increased income from impact activities
- Increased number of engagements
- Increase in resource requested from RCUK for Pathways to Impact | - Increased number of secondments
- Increased co-produced research
- Increase in range of research investors in the RO
- Increased commercialisation and business/stakeholder engagement |

---

1 IAAs are not expected to deliver against every point in the matrix (as not all may apply to their IAA). RCs will capture the gross outputs for IAAs as an innovation support mechanism. The reporting matrix covering the numbers of meetings, events and projects must be supplemented by a narrative explaining the nature and quality of these developing relationships.

2 With a visit being less formal than the others, but an engagement that is part of relationship, project or capacity building.